

Form PTO-1449 (modified)

JUL 06 2000

Atty. Docket No.

IOWA:022/SLH

Serial No.

09/448,613

## List of Patents and Publications for Applicant's

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicant

Paul McCray et al.

Filing Date:

November 22, 1999

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Unknown

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## Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
1S	A1	5,139,941	Aug. 18, 1992	Muzyczka et al.	435	172.3	Oct. 25, 1991
1	A2	5,196,335	Mar. 23, 1993	Groner	435	240.2	Jul. 2, 1990
	A3	5,252,479	Oct. 12, 1993	Srivastava	435	235.1	Nov. 8, 1991
	A4	5,354,855	Oct. 11, 1994	Cech et al.	536	24.1	Feb. 28, 1992
	A5	5,359,046	Oct. 25, 1994	Capon et al.	536	23.4	Dec. 9, 1992
	A6	5,543,399	Aug. 6, 1996	Riordan et al.	514	21	Feb. 17, 1993
1S	A7	5,641,662	Jun. 24, 1997	Debs et al.	435	172.1	Mar. 10, 1993
1S	A8	5,756,353	May, 26, 1998	Debs	435	375	Jun. 7, 1995

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Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
1S	B1	WO 90/07469	July 12, 1990	PCT			
1	B2	WO 93/12240	Jun. 24, 1993	PCT			
	B3	WO 96/22765	Aug. 1, 1996	PCT			
	B4	WO 96/27393	Sep. 12, 1996	PCT			
1S	B5	WO 96/32116	Oct. 17, 1996	PCT			

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Exam. Init.	Ref. Des.	Citation
1S	C1	Alexander et al., "DNA-damaging agents greatly increase the transition of nondividing cells by adeno-associated virus vectors," <i>J. Virol.</i> , 68, 8282-8287, 1994.
1S	C2	Alexander et al. "Transfer of contaminants in adeno-associated virus vector stocks can mimic transduction and lead to artifactual results," <i>Hum. Gene Ther.</i> , 8:1911-1920, 1997.

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PS	C3	Anderson <i>et al.</i> , "Demonstration that CFTR is a chloride channel by alteration of its anion selectivity," <i>Science</i> , 253:202-205, 1991.
PS	C4	Anderson and Van Itallie, "Tight junctions and the molecular basis for regulation of paracellular permeability," <i>Am. J. Physiol.</i> , 269:G467-G475, 1995.
PS	C5	Basak and Compans, "Polarized entry of canine parvovirus in an epithelial cell line," <i>J. Virol.</i> , 63:3164-3167, 1989.
	C6	Bhat <i>et al.</i> , "Regulation of tight junction permeability by calcium mediators and cell cytoskeleton in rabbit tracheal epithelium," <i>Pharm. Res.</i> , 10:991-997, 1993.
	C7	Blau and Compans, "Entry and release of measles virus are polarized in epithelial cells," <i>Virology</i> , 210:91-99, 1995.
	C8	Bosch <i>et al.</i> , "Proliferation induced by keratinocyte growth factor enhances <i>in vivo</i> retroviral-mediated gene transfer to mouse hepatocytes," <i>J. Clin. Invest.</i> , 98:2683-2687, 1996.
	C9	Bosch <i>et al.</i> , "Effects of keratonocyte and hepatocyte growth factor <i>in vivo</i> : Implication for retrovirus-mediated gene transfer to liver," <i>Hum. Gene Ther.</i> , 9:1747-1754, 1998.
	C10	Boucher <i>et al.</i> , "Airway transepithelial electric potential <i>in vivo</i> : species and regional differences," <i>J. Appl. Physiol.</i> , 48:169-176, 1980.
	C11	Bowles <i>et al.</i> , "A simple and efficient method for the concentration and purification of recombinant retrovirus for increased hepatocyte transduction <i>in vivo</i> ," <i>Hum. Gene Ther.</i> , 7:1735-1742, 1996.
	C12	Cereijido <i>et al.</i> , "Role of tight junctions in establishing and maintaining cell polarity," <i>Annu. Rev. Physio.</i> , 60:161 -177, 1998.
	C13	Chan <i>et al.</i> , "Regional deposition of nebulized hypodense nonisotonic solutions in the human respiratory tract," <i>Eur. Respir. J.</i> , 7:1483-1489, 1994.
	C14	Chu <i>et al.</i> , "Binding and uptake of cationic lipid:pDNA complexes by polarized airway epithelial cells," <i>Hum. Gene Ther.</i> , 10:25-36, 1999.
PS	C15	Clayson and Compans, "Entry of simian virus 40 is restricted to apical surfaces of polarized epithelial cells," <i>Mol. Cell Biol.</i> , 8:3391-3396, 1988.

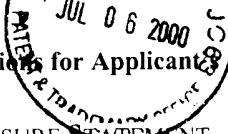
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<i>RS</i>	C16	Colledge <i>et al.</i> , "Generation and characterization of a ΔF508 cystic fibrosis mouse model," <i>Nature Genet.</i> , 10:445-452, 1995.
	C17	Denker and Nigam, "Molecular structure and assembly of the tight junction," <i>Am J Physiol.</i> , 274:F1-F9, 1998.
	C18	Drumm <i>et al.</i> , "Correction of the cystic fibrosis defect <i>in vitro</i> by retrovirus-mediated gene transfer," <i>Cell</i> , 62:1227-1233, 1990.
	C19	Duan <i>et al.</i> , "Structural and functional heterogeneity of integrated recombinant AAV genomes" <i>Virus Res.</i> , 48:41-56, 1997.
	C20	Duan <i>et al.</i> , "Circular intermediates of recombinant adeno-associated virus have defined structural characteristics responsible for long term episomal persistence in muscle," <i>J. Virol.</i> , 72:8568-8577, 1998.
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	C22	Engelhardt <i>et al.</i> , " <i>In vivo</i> retroviral gene transfer into human bronchial epithelia of xenografts," <i>J. Clin. Invest.</i> , 90:2598-2607, 1992.
	C23	Flotte <i>et al.</i> , "Stable <i>in vivo</i> expression of the cystic fibrosis transmembrane conductance regulator with an adeno-associated virus vector," <i>Proc. Natl. Acad. Sci. USA</i> , 90:10613-10617, 1993.
	C24	Furuse <i>et al.</i> , "Claudin-1 and -2: Novel integral membrane proteins localizing at tight junctions with no sequence similarity to occludin," <i>J. Cell Biol.</i> , 141:1539-1550, 1998.
	C25	Furuse <i>et al.</i> , "Occludin: a novel integral membrane protein localizing at tight junctions." <i>J. Cell Biol.</i> , 123:1777-1788, 1993.
	C26	Furuse <i>et al.</i> , "A single gene product, claudin-1 or -2, reconstitutes tight junction strands and recruits occludin in fibroblasts," <i>J. Cell Biol.</i> , 143:391-401, 1998.
	C27	Goldman <i>et al.</i> , "Lentiviral vectors for gene therapy of cystic fibrosis," <i>Hum. Gene Ther.</i> , 8:2261-2268, 1997.
<i>RS</i>	C28	Green and Jones, "Desmosomes and hemidesmosomes: structure and function of molecular components," <i>FASEB J.</i> , 10:871-881, 1996.

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<i>RS</i>	C30	Gumbiner, "Breaking through the tight junction barrier," <i>J. Cell Biol.</i> , 123:1631-1633, 1993.
<i>RS</i>	C31	Halbert <i>et al.</i> , "Retroviral vectors efficiently transduce basal and secretory airway epithelial cells <i>in vitro</i> resulting in persistent gene expression in organotypic culture," <i>Hum. Gene Ther.</i> , 7:1871-1881, 1996.
	C32	Halbert <i>et al.</i> , "Adeno-associated virus vectors transduce primary cells much less efficiently than immortalized cells," <i>J. Virol.</i> , 69:1473-1479, 1995.
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	C35	Housley <i>et al.</i> , "Keratinocyte growth factor induces proliferation of hepatocytes and epithelial cells throughout the rat gastrointestinal tract," <i>J. Clin. Invest.</i> , 94:1764-1777, 1994.
	C36	Inayama <i>et al.</i> , "The differentiation potential of tracheal basal cells," <i>Lab. Invest.</i> , 58:706-717, 1988.
	C37	Jarnigan <i>et al.</i> , "Bioelectric properties and ion transport of excised rabbit trachea," <i>J. Appl. Physiol.</i> , 55:1884-1892, 1983.
	C38	Johnson and Hubbs, "Epithelial progenitor cells in the rat trachea," <i>Am. J. Respir. Cell Mol. Biol.</i> , 3:579-585, 1990.
	C39	Johnson <i>et al.</i> , "Effect of host modification and age on airway epithelial gene transfer mediated by a murine leukemia virus-derived vector," <i>J. Virol.</i> , 72:8861-8872, 1998.
	C40	Johnson <i>et al.</i> , "Efficiency of gene transfer for restoration of normal airway epithelial function in cystic fibrosis," <i>Nature Genet.</i> , 2:21-25, 1992.
<i>RS</i>	C41	Johnston <i>et al.</i> , "Minimum requirements for efficient transduction of dividing and nondividing cells by feline immunodeficiency virus vectors," <i>J. Virol.</i> , 73:4991-5000, 1999.

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Unknown

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## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

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<i>PS</i>	C42	Jolly, "Viral vector systems for gene therapy," <i>Can. Gene Ther.</i> , 1:51-64, 1994.
	C43	Kaplan <i>et al.</i> , "Humoral and cellular immune responses of nonhuman primates to long-term repeated lung exposure to Ad2/CFTR-2," <i>Gene Ther.</i> , 3:117-127, 1996.
	C44	Kent <i>et al.</i> , "Phenotypic abnormalities in long-term surviving cystic fibrosis mice," <i>Pediatr. Res.</i> , 40:233-241, 1996.
	C45	Kitten <i>et al.</i> , "Highly efficient retrovirus-mediated gene transfer into rat hepatocytes <i>in vivo</i> ," <i>Hum. Gene Ther.</i> , 8:1491-1494, 1997.
	C46	Knecht and Shelden, "Three-dimensional localization of wild-type and myosin II mutant cells during morphogenesis of dictyostelium," <i>Dev. Biol.</i> , 170:434-444, 1995.
	C47	Kondo <i>et al.</i> , "Simple technique for culture of highly differentiated cells from dog tracheal epithelium," <i>Am J Physiol.</i> , 263:L106-L117, 1991.
	C48	Leigh <i>et al.</i> , "Cell proliferation in bronchial epithelium and submucosal glands of cystic fibrosis patients," <i>Am. J. Respir. Cell Mol. Biol.</i> , 12:605-612, 1995.
	C49	Liu <i>et al.</i> , "Pseudotransduction of hepatocytes by using concentrated pseudotyped vesicular stomatitis virus G glycoprotein (VSV-G)moloney murine leukemia virus-derived retrovirus vectors: comparison of VSV-G and amphotropic vectors for hepatic gene transfer," <i>J. Virol.</i> , 70:2497-2502, 1996.
	C50	Mason <i>et al.</i> , "Hepatocyte growth factor is a growth factor for a rat alveolar type cells," <i>Am. J. Respir. Cell Mol. Biol.</i> , 11:561-567, 1994.
	C51	McCormack <i>et al.</i> , "Anti-vector immunoglobulin induced by retroviral vectors," <i>Hum. Gene Ther.</i> , 8:1263-1273, 1997.
	C52	McCray <i>et al.</i> , "Expression of CFTR and a cAMP-stimulated chloride secretory current in cultured human fetal alveolar epithelial cells," <i>Am. J. Respir. Cell Mol. Biol.</i> , 9:578-585, 1993.
	C53	McCray <i>et al.</i> , "Alveolar macrophages inhibit retrovirus-mediated gene transfer to airway epithelia," <i>Gene Ther.</i> , 8:1087-1093, 1997.
<i>PS</i>	C54	McCray Jr. <i>et al.</i> , "Adenoviral-mediated gene transfer to fetal pulmonary epithelia <i>in vitro</i> and <i>in vivo</i> ," <i>Clin. Invest.</i> , 95:2620-2632, 1995.

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1	C56	McCray Jr. <i>et al.</i> , "Efficient killing of inhaled bacteria in deltaF508 mice: role of airway surface liquid composition," <i>Am. J. Physiol.</i> , 277:L183-L190, 1999.
	C57	Miller and Miller, "A family of retroviruses that utilize related phosphate transporters for cell entry," <i>J Virol.</i> , 68:8270-8276, 1994.
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	C66	Richardson and Bank, "Developmental-stage-specific expression and regulation of an amphotrophic retroviral receptor in hematopoietic cells," <i>Mol. Cell. Biol.</i> , 16:4240-4247, 1996.
RS	C67	Rodriguez <i>et al.</i> , "Vaccinia virus preferentially enters polarized epithelial cells through the basolateral surface," <i>J. Virol.</i> , 65:494-498, 1991.

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	C69	Russell <i>et al.</i> , "DNA synthesis and topoisomerase inhibitors increase transduction by adeno-associated virus vectors," <i>Proc. Natl. Acad. Sci. U.S.A.</i> , 92:5719-5723, 1995.
	C70	Russell <i>et al.</i> , "Adeno-associated virus vectors preferentially transduce cells in S phase," <i>Proc. Natl. Acad. Sci. U.S.A.</i> , 91:8915-8919, 1994.
	C71	Scaria <i>et al.</i> , "Adenovirus-mediated persistent cystic fibrosis transmembrane conductance regulator expression in mouse airway epithelium," <i>J. Virol.</i> , 72:7302-7309, 1998.
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	C73	Simon <i>et al.</i> , "Adenovirus-mediated transfer of the CFTR gene to lung of nonhuman primates: toxicity study," <i>Hum. Gene Ther.</i> , 4:771-780, 1993.
	C74	Snowwaert <i>et al.</i> , "A murine model of cystic fibrosis," <i>Am. J. Respir. Crit. Care Med.</i> 151:S59-S64, 1995.
	C75	Stern <i>et al.</i> , "The effect of mucolytic agents on gene transfer across a CF sputum barrier in vitro," <i>Gene Ther.</i> , 5, 91-98, 1998.
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	C77	Teramoto <i>et al.</i> , "Factors influencing adeno-associated virus-mediated gene transfer to human cystic fibrosis airway epithelial cells: comparison with adenovirus vectors," <i>J. Virol.</i> , 72:8904-8912, 1998.
	C78	Thomas and Roth, "The basolateral targeting signal in the cytoplasmic domain of glycoprotein G from vesicular stomatitis virus resembles a variety of intracellular targeting motifs related by primary sequence but having diverse targeting activities," <i>J. Biol. Chem.</i> , 269:15732-15739, 1994.
	C79	Tugizov <i>et al.</i> , "Role of apical and basolateral membranes in replication of human cytomegalvirus in polarized retinal pigment epithelial cells," <i>J. Gen. Virol.</i> , 77:61-74, 1996.
P	C80	Ulich <i>et al.</i> , "Keratinocyte growth factor is a growth factor for type II pneumocytes <i>in vivo</i> ," <i>J. Clin. Invest.</i> , 93:1298-1306, 1994.

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	C82	Walters et al., "Basolateral localization of fiber receptors limits adenovirus infection of airway epithelia," <i>J. Biol. Chem.</i> , 274:10219-10226, 1999.
	C83	Wang et al., "Influence of cell polarity on retrovirus-mediated gene transfer to differentiated human airway epithelia," <i>J. Virol.</i> , 72:9818-9826, 1998.
	C84	Wang et al., "Keratinocyte growth factor induced epithelial proliferation facilitates retroviral-mediated gene transfer to pulmonary epithelia <i>in vivo</i> ," <i>J. Gene. Med.</i> , 1:22-30, 1999.
	C85	Weiss and Tailor, "Retrovirus receptors," <i>Cell</i> , 82:531-533, 1995.
	C86	Welsh et al., "Cystic fibrosis," <i>McGraw-Hill, Inc.</i> , 3799-3876, 1995.
RS	C87	Widdicombe et al., "Transient permeabilization of airway epithelium by mucosal water," <i>J. Appl. Physiol.</i> , 81:491-499, 1996.
	C88	Yamaya et al., "Differentiated structure and function of cultures from human tracheal epithelium," <i>Am. J. Physiol.</i> , 262:L713-L724, 1992.
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Atty. Docket No. IOWA:022/SLH	Serial No. 09/448,613
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## List of Patents and Publications for Applicant's Case

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Filing Date: November 22, 1999	Group: Unknown
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## Documents

See Page 1

## Foreign Patent Documents

See Page 1

## Other Art

See Page 2

**Other Art (Including Author, Title, Date Pertinent Pages, Etc.)**

Exam. Init.	Ref. Des.	Citation
PS	C95	Zeiher <i>et al.</i> , "A mouse model for the ΔF508 allele of cystic fibrosis," <i>J. Clin. Invest.</i> 96:2051-2064, 1995.
	C96	Zhang <i>et al.</i> , "Genotypic analysis of respiratory mucous sulfation defects in cystic fibrosis," <i>J. Clin. Invest.</i> 96, 2997-3004, 1995.
	C97	Zhang <i>et al.</i> , "Vector-specific complementation profiles of two independent primary defects in cystic fibrosis airways," <i>Hum. Gene Ther.</i> , 9:635-648, 1998.
	C98	Zsengeller <i>et al.</i> , "Keratinocyte growth factor stimulates transduction of the respiratory epithelium by retroviral vectors," <i>Hum. Gene Ther.</i> , 10:341-353, 1999.
RS	C99	Zsengeller <i>et al.</i> , "Persistence of replication-deficient adenovirus-mediated gene transfer in lungs of immune-deficient (nu/nu) mice," <i>Hum. Gene Ther.</i> , 6:457-467, 1995.

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